

OIP E JCSA
APR 15 2002

2600

2661

JC02 Rec'd PCT/PTO 15 APR 2002

Received per

LAW OFFICES

LERNER, DAVID, LITTENBERG, KRUMHOLZ & MENTLIK, LLP

600 SOUTH AVENUE WEST
WESTFIELD, NEW JERSEY 07090-1497

(908) 654-5000
FAX: (908) 654-7866
www.ldlkm.com

PATENTS, TRADEMARKS AND COPYRIGHTS

April 4, 2002

THOMAS M. PALISI
KIMBERLY V. PERRY
LYNNE A. BORCHERS
MICHAEL J. DOHERTY
MATTHEW B. DERNIER
J. KIRKLAND DOUGLASS
JEANNE P. VALLEBUONA
EDWARD D. PERGAMENT
FRANK J. CHESKY III
WILLIAM SMITH
LANCE Y. LIU
MICHAEL D. BRAUNSTEIN*
SCOTT E. CHARNEY
LAWRENCE E. RUSS
APRIL M. MAYO*
KONSTANTIN A. CAPLOON
ORVILLE R. COCKINGS

OF COUNSEL
LAWRENCE I. LERNER
DANIEL H. BOBIS
RAYMOND W. AUGUSTIN
HARVEY L. COHEN
GLEN M. DIEHL
PATENT AGENT
ANDREW T. ZIDEL

SIDNEY D. DAVID
SIDNEY S. LITTENBERG
ARNOLD H. KRUMHOLZ
WILLIAM L. MENTLIK
JOHN R. NELSON
ROY H. WEPNER
STEPHEN B. GOLDMAN
CHARLES P. KENNEDY
PAUL H. KOCHANSKI
MARCUS J. MILLET
BRUCE H. SALES
ARNOLD B. DOMPIERI
KEITH E. GILMAN
ROBERT B. COHEN
MICHAEL H. TESCHNER
GREGORY S. GEWIRTZ
JONATHAN A. DAVID
SHAWN P. FOLEY*
JEFFREY S. DICKEY
STEPHEN F. ROTH

*NORTH CAROLINA BAR ONLY
*TEXAS BAR ONLY
*MARYLAND BAR ONLY

Commissioner For Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

COPY OF PAPERS
ORIGINALLY FILED

Re: Our File: SONYTA 3.3-150
Appln. No. 09/980,517
Filing Date: February 28, 2002
Group Art Unit: 2661

RECEIVED
MAY 17 2002
Technology Center 2600

Dear Sir:

We are enclosing herewith copies of the filing receipt and executed Declaration for the above-identified patent application.

In the *Foreign Applications* section, the second application number should read --2000-303518--, not "2000-305518." Also, the second word of the *Title* should read --apparatus--, not "device".

Kindly issue a corrected filing receipt for the above-identified application as soon as possible.

Sincerely yours.

LERNER, DAVID, LITTENBERG,
KRUMHOLZ & MENTLIK, LLP



ARNOLD H. KRUMHOLZ
Reg. No. 25,428

AHK:ls
Enclosures
361592_1.DOC



APR 15 2002

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/980,517	02/28/2002	2661	1020	SONY JP-TA 150	16	6	2

000530
LERNER, DAVID, LITTENBERG,
KRUMHOLZ & MENTLIK
600 SOUTH AVENUE WEST
WESTFIELD, NJ 07090

CONFIRMATION NO. 5399

FILING RECEIPT



OC00000007707188

COPY OF PAPERS
ORIGINALLY FILED

Date Mailed: 03/28/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Kenji Inose, Tokyo, JAPAN;
Keiji Fukuzawa, Chiba, JAPAN;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A 371 OF PCT/JP01/01489 02/28/2001

Foreign Applications

JAPAN 2000-054269 02/29/2000
JAPAN 2000-305518 10/03/2000

Projected Publication Date: To Be Determined - pending completion of Security Review

Non-Publication Request: No

Early Publication Request: No

Title

Receiving device and receiving method

Preliminary Class

RECEIVED

MAY 17 2002

Technology Center 2600

RECEIVED

APR 01 2002

LDLK&M

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



Docket Number: SONYJP 3.3-150
Sony Ref. No.: S01P0986US00

PTO/SB/106 (8-95)
Approved for use through 2/30/98. OMB 0651-0032
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Declaration and Power of Attorney For Patent Application

RECEIVED

特許出願宣言書及び委任状

MAY 17 2002

Japanese Language Declaration

Technology Center 2600

日本語宣言書

COPY OF PAPERS
ORIGINALLY FILED

下記の氏名が発明者として、私は以下の通り宣言します。

As a below named inventor, I hereby declare that:

私の住所、私書箱、国籍は下記の私の氏名の後に記載された通りです。

My residence, post office address and citizenship are as stated next to my name.

下記の名称の発明に関して請求範囲に記載され、特許出願している発明内容について、私が最初かつ唯一の発明者（下記の氏名が一つの場合）もしくは最初かつ共同発明者であると（下記の名称が複数の場合）信じています。

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

RECEIVING APPARATUS AND RECEIVING METHOD

上記発明の明細書（下記の欄でx印がついていない場合は、本書に添付）は、

the specification of which is attached hereto unless the following box is checked:

☐ 月 日に提出され、米国出願番号または特許協定条約国際出願番号を _____ とし、
(該当する場合) _____ に訂正されました。

☒ was filed on February 28, 2001
as United States Application Number or
PCT International Application Number
PCT/JP01/01489 and was amended on _____
(if applicable).

私は、特許請求範囲を含む上記訂正後の明細書を検討し、内容を理解していることをここに表明します。

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

私は、連邦規則法典第37編第1条56項に定義されるとおり、特許資格の有無について重要な情報を開示する義務があることを認めます。

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

Page 1 of 3

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner of Patents and Trademarks, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Japanese Language Declaration (日本語宣言書)

私は、米国法典第35編119条(a)-(d)項又は365条(b)項に基づき下記の、米国外の国の少なくとも一カ国を指定している特許協力条約365(a)項に基づく国際出願、又は外国での特許出願もしくは発明者証の出願についての外国優先権をここに主張するとともに、優先権を主張している。本出願の前に出願された特許または発明者証の外国出願を以下に、枠内をマークすることで、示しています。

Prior Foreign Application(s)

外国での先行出願
P2000-054269

(Number)
(番号)

P2000-303518

(Number)
(番号)

Japan

(Country)
(国名)

Japan

(Country)
(国名)

私は、第35編米国法典119条(e)項に基づいて下記の米国外特許出願規定に記載された権利をここに主張いたします。

(Application No.)
(出願番号)

(Filing Date)
(出願日)

私は、下記の米国法典第35編120条に基づいて下記の米国外特許出願に記載された権利、又は米国を指定している特許協力条約365条(c)に基づき権利をここに主張します。また、本出願の各請求範囲の内容が米国法典第35編112条第1項又は特許協力条約で規定された方法で先行する米国外特許出願に開示されていない限り、その先行米国外特許出願提出日以降で本出願書の日本国内または特許協力条約国際提出日までの期間中に入手された、連邦規則法典第37編1条56項で定義された特許資格の有無に関する重要な情報について開示義務があることを認識しています。

(Application No.)
(出願番号)

(Filing Date)
(出願日)

(Application No.)
(出願番号)

(Filing Date)
(出願日)

私は、私自身の知識に基づいて本宣言書中で私が行なう表明が真実であり、かつ私の入手した情報と私の信じることに基づき表明が全て真実であると信じていること、さらに故意になされた虚偽の表明及びそれと同等の行為は米国法典第18編第1001条に基づき、罰金または拘禁、もしくはその両方により処罰されること、そしてそのような故意による虚偽の声明を行えば、出願した、又は既に許可された特許の有効性が失われることを認識し、よってここに上記のごとく宣誓を致します。

I hereby claim foreign priority under Title 35, United States Code, Section 119 (a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

Priority Not Claimed

優先権主張なし

29 February 2000

(Day/Month/Year Filed)

(出願年月日)

03 October 2000

(Day/Month/Year Filed)

(出願年月日)

☐

☐

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below.

(Application No.)
(出願番号)

(Filing Date)
(出願日)

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s), or 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code Section 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of application.

(Status: Patented, Pending, Abandoned)
(現況: 特許許可済、係属中、放棄済)

(Status: Patented, Pending, Abandoned)
(現況: 特許許可済、係属中、放棄済)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Japanese Language Declaration (日本語宣言書)

委任状: 私は下記の発明者として、本出願に関する一切の手続きを米特許商標局に対して遂行する弁理士または代理人として、下記の者を指名いたします。(弁理士、または代理人の氏名及び登録番号を明記のこと)

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith (list name and registration number)

Customer No. 000530

書類送付先

Send Correspondence to:

Customer No. 000530

直接電話連絡先: (名前及び電話番号)

Direct Telephone Calls to: (name and telephone number)

Robert B. Cohen, Reg. No. 32,768
Telephone: 908-654-5000
Facsimile: 908-654-7866

唯一または第一発明者名	Full name of sole or first inventor	
	Kenji INOSE	
発明者の署名	日付	Inventor's signature
		<i>Kenji Inose</i>
住所	Residence	
	Tokyo, Japan	
国籍	Citizenship	
	Japan	
私書箱	Post Office Address	
c/o Sony Corporation, 7-35, Kitashinagawa 6-chome, Shinagawa-ku,		
Tokyo, Japan		
第二共同発明者	Full name of second joint inventor, if any	
	Keiji FUKUZAWA	
第二共同発明者	日付	Second inventor's signature
		<i>Keiji Fukuzawa</i>
住所	Residence	
	Chiba, Japan	
国籍	Citizenship	
	Japan	
私書箱	Post Office Address	
c/o Sony Corporation, 7-35, Kitashinagawa 6-chome, Shinagawa-ku,		
Tokyo, Japan		

(第三以降の共同発明者についても同様に記載し、署名をすること)

(Supply similar information and signature for third and subsequent joint inventors.)

LAW OFFICES
LEARNER, DAVID, LITTENBERG, KRUMHOLZ & MENTLIK, LLP

Commissioner For Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

**COPY OF PAPERS
ORIGINALLY FILED**



1. The first step is to identify the problem or question that needs to be addressed. This involves understanding the context and the specific requirements of the task.